

Approved For Release  
News of  
Foreign Affairs Research

# FAR Horizons

In fiscal year 1970 a dozen Federal agencies spent more than \$20 million on contracts and grants for foreign affairs research by universities and independent research organizations. This supplement to the May 1971 issue of FAR Horizons is devoted to a new interagency group, part of the National Security Council system, which has been given the task of coordinating this special type of Government-supported activity.

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## Special Supplement MAY 1971

*Bimonthly newsletter of the  
UNDER SECRETARIES COMMITTEE  
SUBCOMMITTEE ON  
FOREIGN AFFAIRS RESEARCH  
(USC/FAR)*

## NEW COORDINATION MECHANISM FOR GOVERNMENT-SUPPORTED FOREIGN AFFAIRS RESEARCH

### Part of NSC System

President Nixon, wanting closer coordination of foreign affairs research sponsored by the Federal Government, has assigned responsibility in this area to the National Security Council's Under Secretaries Committee, which is chaired by the Under Secretary of State, John N. Irwin II. A new interagency Subcommittee on Foreign Affairs Research has been established to be responsible for assuring such coordination. It will have as chairman the State Department's Director of Intelligence and Research, Ray S. Cline. The new research subcommittee replaces the Foreign Area Research Coordination Group (FAR), which since 1964 has encouraged cooperative effort at the working level on a voluntary basis.

The President acted after considering the report of a special study group which made a comprehensive review of coordination procedures for social science research in the field of national security affairs and foreign policy. The study group, which was chaired by Mr. Cline, urged the need for more emphasis on long-range research planning, better ordering of priorities, and improved allocation of resources and responsibilities among agencies. Further, the group advocated more complete information exchange among agencies about research activities and more systematic sharing of information about research results.

The new Subcommittee on Foreign Affairs Research (known as the USC/FAR) of the Under Secretaries Committee is charged with enhancing the quality and utility of Government research in foreign affairs and avoiding duplication of effort. Like the FAR, its secretariat will be the Office of External Research in the Bureau of Intelligence and Research of the Department of State. Unlike the FAR, it has a Presidential mandate and is part of the machinery of the National Security Council.

The USC/FAR met for the first time on April 6. The task immediately before it is the preparation of a foreign affairs consolidated research plan, to be submitted for approval by the President. The plan will state interagency and individual agency research goals and priorities, present a multiyear plan for regional and functional subject areas indicating agency responsibilities, and suggest joint funding of particular activities. This plan will help shape the research programs of the foreign affairs and national security "mission" agencies, but it will not encompass the research program supported by the National Science Foundation, the National Endowment for the Humanities, or other basic research agencies.

In addition to better planning of Government foreign affairs research, the new group will emphasize better information exchange. It will continue and try to improve commu-

nity services provided by FAR (through the Office of External Research as secretariat), such as the Foreign Affairs Research Documentation Center, the annual funding survey, the published inventory of Government-supported research, and this newsletter.

Relations with the academic community are important to the USC/FAR. It is charged specifically with sharing research information, to the maximum extent consistent with national security, with private researchers as well as with establishing mutual trust and good working relations with the nongovernmental research community. Moreover, the *Government Guidelines for Foreign Area Research*, probably the best known FAR achievement, will remain in effect. Adopted by FAR member agencies in December 1967, the guidelines set standards for the conduct of foreign area research supported by U.S. Government agencies.\*

### Background

The need for coordination of Government research in this area was perceived long ago; how to do it effectively has been the question. Federal support for social science research related to foreign affairs takes a variety of forms and serves a variety of purposes. The FAR funding survey each year has revealed more than two dozen funding sources. Each agency has its own procedures for setting priorities, allocating responsibilities, and assuring coordination. The fact that the agency most responsible for U.S. foreign relations had the least resources for the support of outside research further aggravated the problem.

As long ago as April 1964 the Fascell Subcommittee of the House Committee on Foreign Affairs urged improved coordination, saying:

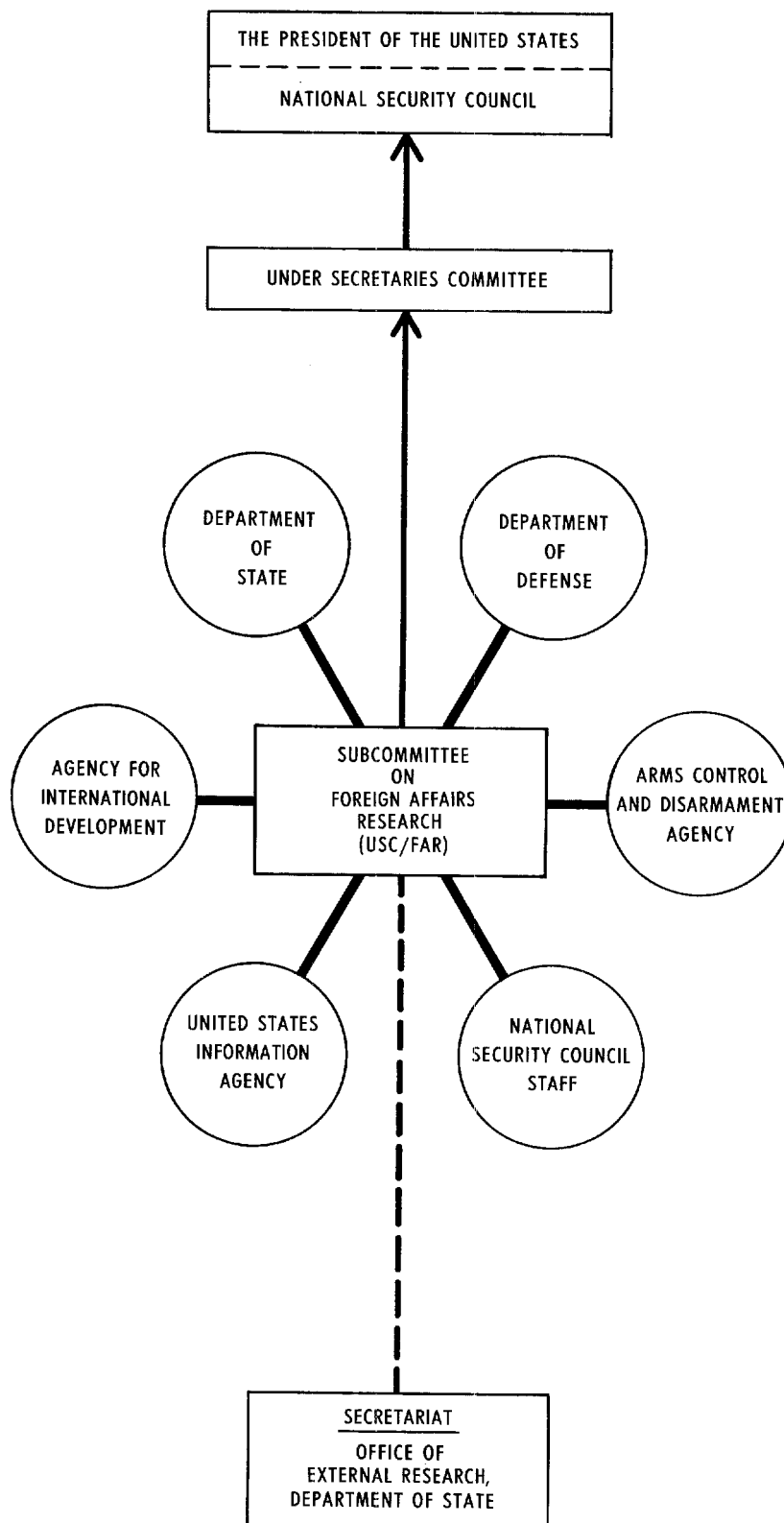
Effective methods must be evolved to insure that the results of research conducted by Government agencies are promptly made available to all agencies concerned with foreign policy operations. Other arrangements must be worked out to divide research assignments and make certain that all requirements are covered to the extent that funds are available. A system of priorities must be established and enforced to insure that scarce resources—human and financial—are applied first to the most urgent tasks.

Even before the Fascell report the

\* Copies of the FAR guidelines may be obtained from the Office of External Research, Room 8646, Department of State, Washington, D.C. 20520.

March 1971

### USC/FAR STRUCTURE



State Department had begun to organize the Foreign Area Research Coordination Group, which for the past 7 years encouraged cooperative effort across agency lines. The FAR identified some Government research needs, set standards for Government use of academic research, provided a setting for information exchange and Government-academic relations, facilitated several jointly funded projects, and published inventories, lists, and other useful compilations. Its accomplishments were limited, however, because the organization had no formal mandate and performed no systematic research planning function.

When the National Academy of Sciences' Advisory Committee on Government Programs in the Behavioral Sciences surveyed the field in 1968, it concluded that "There are no organized means of

assuring that areas of research essential to policy planning are supported and that cumulative bodies of knowledge on international problems are developed." It recommended:

That, in the field of foreign affairs, long-range behavioral science research objectives be drawn up by an interagency planning group headed by the Department of State, with the support of the Office of Science and Technology, and that the research programs of all departments and agencies that operate overseas, including the United States Information Agency, Agency for International Development, Department of Defense, and the Peace Corps, be continually related to these long term objectives through the Foreign Area Research Coordination Group and foreign affairs planning mechanisms like the Senior Interdepartmental Group.

A similar conclusion was reached, also in 1968, by the Panel on the



*Chairman of the new Subcommittee on Foreign Affairs Research is Ray S. Cline, Director of the State Department's Bureau of Intelligence and Research.*

## PRINCIPALS

### Member

Department of State (*Chairman*)  
Department of Defense  
Agency for International Development  
Arms Control and Disarmament Agency  
United States Information Agency  
National Security Council Staff

### Representative

RAY S. CLINE, *Director, Bureau of Intelligence and Research*  
*Co-representatives:* A. E. HAYWARD, *Assistant Director for Environmental and Life Sciences, Office of Research and Technology*; ROBERT J. PRANGER, *Deputy Assistant Secretary for International Security Affairs*  
ERVEN J. LONG, *Associate Assistant Administrator, Research and University Relations*  
ROBERT H. B. WADE, *Assistant Director, Bureau of Economic Affairs*  
LAWRENCE J. HALL, *Chief, Research Service, Office of Research and Assessment*  
K. WAYNE SMITH, *Director, Program Analysis Staff*

### Observer

Department of the Treasury  
Department of Commerce  
Department of Health, Education, and Welfare  
Office of Management and Budget  
Central Intelligence Agency  
Office of Science and Technology  
National Science Foundation

### Representative

JOHN J. MCGINNIS, *Special Assistant to the Secretary of Treasury for National Security Affairs*  
LAWRENCE A. FOX, *Deputy Assistant Secretary for International Trade Policy*  
GRANVILLE S. AUSTIN, *Special Assistant to the Secretary for International Affairs*  
JAMES F. BARRIE, *Assistant Chief, International Programs Division*  
HAROLD P. FORD, *Chief, Special Research Staff*  
EDWARD E. DAVID, *Science Adviser to the President*  
HOWARD H. HINES, *Director, Division of Social Sciences*

**NOTE:** Other U.S. departments and agencies will be invited to send participants or observers to meetings of the USC/FAR or its working groups when the agenda includes matters related to their responsibilities. Nonmember agencies, including observers, must have a contact point responsible for providing USC/FAR with information on relevant projects and programs.

The Under Secretary of State, on the advice of the USC/FAR Chairman, may invite observer or nonmember agencies to join USC/FAR as full participating members.

Behavioral Sciences of the Defense Science Board, National Academy of Sciences. The panel found that the Defense Department and the civilian foreign affairs agencies had many research interests in common, but that there was no organization to provide coherent planning for meeting these shared needs. It urged the establishment of an interagency research planning group which would "Evolve an overall research plan in the foreign area field to assure coverage of fields of common interest and to allocate leadership responsibility among departments for action on research topics."

In 1969 the staff of the National Security Council, aware of the recommendations for better organization of the Government's foreign affairs research, asked the Secretary of State to organize a special study group to consider improved coordination procedures. The group was composed of representatives from Defense, HEW, ACDA, USIA, AID, CIA, the National Science Foundation, the Office of Management and Budget, and the Office of Science and Technology and chaired by Mr. Cline from State. It focused on how best to coordinate contract and grant research in the social sciences sponsored by the military and foreign affairs agencies. In its deliberations the group emphasized the importance of an overall plan which would set research priorities and indicate responsibilities. Its report, delivered last year to the Assistant to the President for National Security Affairs, Henry A. Kissinger, forms the basis for the new Subcommittee on Foreign Affairs Research.

## TERMS OF REFERENCE

### 1. Authorization and Identification

This subcommittee is established as part of the National Security Council system pursuant to the President's directive in NSDM 98 and the directive of the Chairman of the Under Secretaries Committee in NSC-U/SM 96. Its symbol will be USC/FAR. It supersedes but builds upon the work done by the Foreign Area Research Coordination Group (FAR), established by voluntary agreement of the foreign affairs research community on April 9, 1964.

### 2. Purpose

The USC/FAR's purpose is systematically to coordinate member agency external social science research activities which bear upon foreign affairs in order to develop and monitor a coherent interdepartmental program of external research.

### 3. Scope

The USC/FAR is concerned with the full range of needs of the national security foreign affairs process which may be met in whole or in part from research involving the application or advancement of the social-behavioral sciences or humanistic studies. (See Annex A.<sup>1</sup>)

<sup>1</sup> While Annexes A-D are an integral part of these terms of reference, the Annexes are to be construed as initial guidance for the USC/FAR which may be amended, developed, and refined by the group itself in the light of experience.

### 4. Organization

**A. Members.** The members of the USC/FAR are representatives of:

1. The Department of State (Chairman)
2. The Department of Defense
3. The Agency for International Development
4. The Arms Control and Disarmament Agency
5. The United States Information Agency
6. The Assistant to the President for National Security Affairs

**B. Observers.** The heads of the following departments and agencies will be represented by observers at the meetings of the USC/FAR and such of its working groups as may be determined by the Chairman:

1. The Department of the Treasury
2. The Department of Commerce
3. The Department of Health, Education, and Welfare
4. The Office of Management and Budget
5. The Central Intelligence Agency
6. The Office of Science and Technology
7. The National Science Foundation

**C. Others.** Representatives of the heads of other U.S. departments and agencies may be invited by the appropriate chairman to participate as ad hoc members or observers in meetings of the USC/FAR or its working groups when the agenda in-

volves matters for which they have major responsibilities. The extent of participation of observers and ad hoc members will be decided on a case-by-case basis. On the advice of the USC/FAR Chairman, the Under Secretary of State may invite observer or nonmember agencies to join the USC/FAR as full participating members. (See Annex D for responsibilities of nonmember agencies.)

**D. Chairman.** The Under Secretary of State will appoint the Chairman of the USC/FAR.

**E. Working Groups.** The Chairman may establish such standing and ad hoc working groups as are required to assist the USC/FAR. Interested members may request representation. It is expected that the working groups will cover the major geographic regions and provide for important areas of functional, basic, and multinational research. Observer or nonmember agencies may be asked by the USC/FAR to sit as full participating members on specified working groups.

**F. Secretariat.** The Department of State will provide an Executive Secretary and a staff to furnish secretariat services to the USC/FAR and its working groups.

**G. Agency Representatives.** The head of each member or observer agency will designate to the Under Secretary of State his representative to the USC/FAR. The representative will be responsible for his agen-

cy's participation in the USC/FAR and its working groups, including internal coordination and the submission of research information, plans, and reports as required. Each member agency will assure that its representative is so positioned in the agency as to be conversant with agency policies, planning, and programs related to foreign affairs as well as conversant with agency research programs and plans and with the agency's participation in the NSC process. Whether the representative normally carries either research or operating responsibilities in his agency, he should assure that both interests make appropriate inputs to the work of the USC/FAR. Each member agency will establish internal procedures for effective agency participation in the USC/FAR.

**H. Reporting.** The Chairman of the USC/FAR will report to the USC. USC/FAR members may exercise the usual right to appeal in the event of disagreement with the Chairman's decisions. In forwarding group plans and reports to the USC, dissenting views of member agencies will be presented.

## 5. Functions

To carry out its purpose the USC/FAR is authorized to perform the following functions:

**A. Develop a Foreign Affairs Consolidated Research Plan** which it will recommend to the USC on August 1 each year. The plan—which is to focus on the program rather than the project level—is to be developed along the lines described in Annex B. Typically, the plan will:

1. State groupwide and individual member agency research goals and priorities for both the near and long term;
2. Consistent with the priorities, coordinate and allocate program responsibility among agencies;
3. Present a multiyear budget for regional and functional program areas in which individual and multiagency responsibilities are indicated;
4. Suggest joint funding of particular activities.

**B. Recommend Joint Funding of Projects and Programs.** The USC/FAR Chairman is authorized to explore possibilities and to encourage, where appropriate, the joint funding of specific activities by two or more agencies.

**Information on Research and Improve Utilization of Research Results.** In order to make the USC/FAR progressively more effective and to assure efficiency in the sponsoring of external research and its effective utilization, the Executive Secretary of the USC/FAR will be responsible for the collection and dissemination of relevant information and documents.

1. The Executive Secretary will assure that a complete and current inventory of Government-supported external research projects is maintained and made available to all members, that copies of all research reports resulting from agency projects are accessioned by the Foreign Affairs Research Documentation Center and member agencies alerted to their availability, and that all other necessary exchanges of information authorized by the USC/FAR Chairman take place. (See Annex C for responsibilities of agencies to supply information.)
2. To the maximum extent consistent with the national security, research information developed by the USC/FAR will be shared, under policies approved by the group, in the Government and with the private research community. Other appropriate steps will be taken to establish mutual trust and good working relations among the governmental, nongovernmental, intergovernmental, and foreign research sectors.

**D. Arrange Working Group Consultations and Initiatives.** Each USC/FAR working group will stand ready to constitute itself an informal advisory group for any agency (member or nonmember) that wishes to consult member agencies in developing and designing specific programs or projects, the subject matter of the program or project serving as a guide to selecting the most appropriate working group for consultation. Member agencies are to be encouraged to seek such consultation for all major programs and projects which have a substantial interagency interest, even if the Consolidated Research Plan does not specifically so direct. However, it is recognized that some studies of specific situations or events must be fielded and reported within such a short time-

frame that working group consultation may not be feasible. Each working group is responsible for recommending to the USC/FAR Chairman improved ways to accomplish the work of the USC/FAR and problems or opportunities to which it should address itself.

**E. Establish Liaison.** To assure relevance of external research to policy planning and programing, the chairmen of the USC/FAR and its working groups will arrange for participation in their meetings by appropriate staff members of NSC Interdepartmental Groups and of the Department of State's Planning and Coordination Staff (S/PC). To assure that it carries out its activities with adequate awareness of the context in which they exist, the USC/FAR will establish liaison with other units or groups in the Government concerned with the domestic and overall advancement and application of the social-behavioral and humanistic disciplines, liaison with the private U.S. research community, and liaison with those agencies of Government and other organizations concerned with the development and international support of relevant foreign and multinational research capabilities.

**F. Make Recommendations on Related Matters.** Although the USC/FAR is to direct its efforts to the purpose specified and with the authority given it by this document, it needs to be recognized that its work will impinge upon and be affected by a number of related matters. These matters include: (1) the general state of and the national interest in advancing and applying the social-behavioral and humanistic disciplines; (2) the state of university and government programs which bear upon advanced education and training in foreign area and international studies; (3) the state of international educational, cultural, and information exchange programs; (4) the state of relevant foreign research capabilities; (5) the state of Government in-house research and study units, programs, and capabilities. The USC/FAR is authorized to direct its attention and resources to the consideration of these and other contextual matters when it appears that such attention may result in transmission to the proper authority in Government of well-coordinated recommendations for ways in which the U.S. Government can better deal with problems and opportunities in these areas.

## Annex A

### SCOPE AND GUIDELINES

1. *Scope.* The USC/FAR takes the broadest possible view of national security foreign affairs, and concerns itself not only with the political-military dimensions of national security and foreign affairs but with all geographic areas and the full range of functional dimensions of international affairs in which the distinctions between foreign and domestic affairs are increasingly blurred. Within that broad view:

A. The USC/FAR is directly concerned with:

1. All external (contract and grant) social-behavioral and humanistic research and studies<sup>2</sup> supported by member agencies the purpose of which is:
  - a. To detect or clarify situations and trends;
  - b. To anticipate problems and opportunities;
  - c. To review, evaluate, and plan national policies and programs — political, mili-

<sup>2</sup> Research and studies in the social-behavioral and humanistic fields are directed toward an understanding of human institutions and groups and of individuals as members of groups. They include research and studies of the implications for man and society of developments in the life, physical, and environmental sciences and in mathematics and engineering. The social-behavioral and humanistic disciplines and fields include: anthropology, demography, economics, geography, history, intercultural communications, international relations, law, linguistics, philosophy, political science, psychology, social statistics, sociology, and various multidisciplinary combinations thereof.

- tary, economic, social, technological, cultural, etc.;
- d. To illuminate and improve the management, organization, and conduct of national policy;
- e. To improve and advance theory, methods, and data in disciplines and fields which have a bearing on the above purposes.

2. Such external research activities of member agencies as:

- a. Short-term or ad hoc research programs and projects;
- b. Continuing research programs conducted by Federal Contract Research Centers or other contractors or grantees;
- c. Research abroad funded through excess foreign currencies;
- d. Institutional support and other general-purpose grants to or arrangements with academic or other private institutions for the advancement or application of knowledge relevant to foreign affairs;
- e. Research conferences, symposia, etc.;
- f. Data and information collections, services, and systems related to research.

B. The USC/FAR is indirectly concerned (for information purposes only) with research activities in the above categories of nonmember agencies.

2. *Guidelines.* In pursuing its purpose within this scope the USC/FAR will give due consideration to:

A. Both the efficient use of Government resources and the need to run the risks of low payoff which attend some areas of inquiry and which attend innovative research and development in particular;

B. The importance of high quality in Government-sponsored research;

C. The advantage of multiple perspectives in the study of situations and problems;

D. The desirability of making foreign affairs data and knowledge cumulative and readily accessible;

E. The need to facilitate utilization of existing knowledge as well as of the findings of sponsored research;

F. The importance of developing and experimenting with the application to foreign affairs research and analysis of new approaches, methods, and techniques;

G. The national interest in having the Government contribute in suitable ways to the development of those individual and institutional capabilities in the external research community which in turn help meet the national need for foreign affairs knowledge and analysis;

H. The importance of conducting the Government's relations with the private research community on a basis which respects and protects the integrity of both;

I. The desirability of assisting in the development of foreign research capabilities and of internationalizing support for certain kinds of social-behavioral and humanistic research.

## Annex B

### SAMPLE SCHEDULE FOR PREPARATION OF THE CONSOLIDATED RESEARCH PLAN

Preparation of the plan is to be completed on a regular annual schedule so that it can guide member agencies and review authorities in the development of the President's budget. This will require at least the following activities at roughly the times indicated. However, the USC/FAR Chairman has full authority to adjust both activities and timing to make the process more effective in light of experience.

**1. 31 March 1971.** Member agencies deliver to USC/FAR Chairman:

- A. A résumé of relevant current external research activities and plans for all of FY 1971;
- B. A statement of research activities projected for FY 1972;
- C. A projection of research activities planned in connection with the fiscal year or years beyond 1972;
- D. A statement of research priorities which the agency believes should shape the plan for FY 1973, etc.;
- E. After the first year, when an earlier version of the plan exists and is to be revised and updated, an explanation of how the agency activities described in the submissions required by paragraphs A through D above relate to the existing version of the plan.

**2. 10 April 1971.** Executive Secretary disseminates to appropriate USC/FAR working groups various portions of submissions from agencies.

**3. 15 April 1971.** Various USC/FAR working groups begin work to develop research plans for their areas of competence. These plans are to be multiagency and multiyear

in accordance with guidance given by the USC/FAR Chairman.

**4. 20 May 1971.** Working groups transmit completed research plans to USC/FAR Chairman.

**5. 15 June 1971.** Executive Secretary, using research plans from working groups, transmits to the USC/FAR Chairman a draft plan which he has prepared. The draft is to merge working group research plans and to point up major issues to be resolved and choices to be made by the USC/FAR.

**6. 1 August 1971.** USC/FAR Chairman transmits final version of plan to USC.

**7. 1 September 1971.** USC approves Consolidated Research Plan.

**8. 5 September 1971.** Approved plan distributed to USC/FAR working groups, member agencies, the Office of Management and Budget (OMB), and other observers.

**9. 10 September 1971–August 1972.** USC/FAR working groups undertake program reviews, project consultations, and such other activities as are directed by the plan or the USC/FAR Chairman, sought by member agencies, or initiated by working group chairmen.

**10. 1 October 1971.** Member agencies make budget submissions for FY 1973 to OMB in preparation for President's budget in January 1972.

**11. 1 February 1972.** Executive Secretary alerts member agencies to need for 31 March submission.

**12. 31 March 1972.** Member agencies deliver new submissions to USC/FAR Chairman as specified in paragraph 1 above and cycle begins again.

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NOTE: Additional copies of this special supplement to the May 1971 issue of *FAR Horizons* are available without charge from the Office of External Research, address above.

## **Annex C**

### **INFORMATION RESPONSIBILITIES OF MEMBERS**

1. Each member agency representative shall transmit to the Executive Secretary the following information on specific research projects immediately after a grant is awarded or a contract is entered into:
  - A. Title of project and brief description.
  - B. Sponsoring agency or agencies (including information of any funding by other agencies); monitoring officer or officers.
  - C. Contractor, subcontractors if known, and principal researchers; estimated cost; initiation date and estimated completion date.
  - D. Summary information pertaining to questions to be investigated, methods, schedules, countries or regions covered.
  - E. Individuals in other member agencies involved in the formulation or management of the project.
  - F. Classification of project and proposed disposition of reports.
  - G. Relationship of project to the current Consolidated Research Plan.
2. Each member agency representative shall transmit to the Executive Secretary three copies of each research report resulting from projects and activities supported by the member agency.
3. Each member agency representative shall cooperate with the USC/FAR Chairman and the Executive Secretary in supplying such additional information as the group requires for its activities. Categories in which information is likely to be required include but are not exhausted by the following:
  - A. Information on a member agency's in-house research and study programs and projects;
  - B. Information on external research capabilities and limitations;
  - C. Information of the state of theory, method, and data in certain fields or academic disciplines;
  - D. Information on research management practices;
  - E. Information on particular or special or emerging problems in the conduct of external research;
  - F. Information on obtaining copies of external research reports and publications produced without Government support;
  - G. Information on procedures and problems in agency utilization of research results;
  - H. Information on foreign and multinational research capabilities and on international programs for the support and development of these capabilities.

## **Annex D**

### **RESPONSIBILITIES OF NONMEMBER AGENCIES**

All Federal agencies are responsible for bringing to the attention of the USC/FAR, whether or not they are members, their research projects and programs which fall within its scope (see Annex A). All nonmember agencies, including observer agencies, which support relevant

projects, programs, or other activities will designate a contact point to be responsible for providing information on such activities to the USC/FAR Chairman. Information on specific projects will be provided in accordance with paragraph 1 of Annex C. All nonmember agencies,

including observer agencies, will, at his request, cooperate with the Chairman of the USC/FAR in identifying problems and opportunities and developing recommendations pertaining to matters of the type described in paragraph 5.F.

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**GOVERNMENT GUIDELINES FOR  
FOREIGN AREA RESEARCH**

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## GOVERNMENT GUIDELINES FOR FOREIGN AREA RESEARCH

### *The Setting*

The Government agencies which support foreign area research by American scholars affirmed on December 5, 1967 that:

- Government support of contract research should always be acknowledged;
- Classification of such research should be kept at a minimum;
- Agencies should encourage open publication of research results;
- Advancement of knowledge should be a factor in designing even action-oriented research projects;
- Government agencies should consult with academic associations on problems of foreign area research.

The agencies also agreed that they should avoid actions that might diminish the status of universities as centers of independent teaching and research or that might adversely affect the overseas relationships and access of the private American scholar. Further, through existing facilities for coordination of their agencies' foreign area research programs, they would continue to work to eliminate duplication and over-concentration of researchers, and projects in any one overseas area.

These and other guidelines for Government-supported foreign area research are the result of discussions among representatives of the 21 departments and agencies participating in the interagency Foreign Area Research Coordination Group (FAR). They constitute a major Government-wide statement concerning the responsibilities of agencies which sponsor contract foreign affairs research.

The concern of FAR member agencies in formulating the guidelines stems from an awareness of their dependence on universities, as on other sectors of American society, for much of the knowledge and analysis needed in carrying out their missions. Of more than \$36 million spent annually by FAR agencies on foreign area research, a substantial portion goes to universities and individual scholars in the form of contracts and grants. Programs of this magnitude obviously involve close working relationships with the many academic research centers and scholars conducting con-

tract research. Government-academic relations thus are of interest to every FAR agency.

#### Discussions Within Academic Community

In the last 2 years problems associated with Government support of university research have been the subject of discussion at meetings of professional associations and in the columns of scholarly journals. Academic officers have taken a new look at such questions as classification, right to publication, the ethics involved in accepting Government support, acknowledgement of such support, and, in the case of research conducted overseas, access to sources of information.

The American Political Science Association, the American Anthropological Association, the Federation of American Scientists, and Education and World Affairs are among the several organizations which have issued statements on one or more of these aspects of Government-academic relations. In addition, a number of individual universities have stated their position on Government-sponsored research in both the natural and the social sciences.

In formulating the FAR guidelines, the member agencies took note of the initiatives of the academic community but centered their statement on the role of Government and its obligation "to ensure that government-supported foreign area research is conducted in ways that reflect favorably on the United States and on the integrity of American scholarship."

#### Background of Government Sponsorship of Research

While discussion of questions relating to Government-sponsored research is now widespread, many of the questions themselves are not new. Government demands on university resources for research and development increased sharply during World War II, and the universities responded to the emergency. Instead of subsiding after victory,

however, the demands continued into the postwar era. As early as 1952 the American Council on Education recognized the need for "a new long-range plan of cooperation" between its members and research-sponsoring Government agencies and established a Committee on Institutional Research Policy to draw up such a plan. The Committee's report, *Sponsored Research Policy of Colleges and Universities* (1954), made recommendations dealing with many of the same questions now perturbing Government-academic relations.

At the request of Secretary of State Herter, a distinguished group in 1959 undertook a study of the whole range of university participation in world affairs. Chaired by J. L. Morrill, it included Dean Rusk, then president of the Rockefeller Foundation; John W. Gardner, then president of the Carnegie Corporation of New York; and Senator J. William Fulbright. The committee included in its report a cautionary note directed specifically at scholars engaged in overseas research:

The difficulties of research overseas should not be overemphasized, but they should not be ignored. To equip himself for effective work in most foreign areas, a scholar must usually spend extra years of preparation beyond what is needed by his colleague who works at home. That he must adapt himself to the conditions of the area where he works goes without saying.

Moreover, research studies often strike at very sensitive points in a culture. They must therefore be handled with extreme care, and, wherever possible, have the interest of and participation by scholars of the host country.

In many foreign areas governments play a major role in the development of foreign institutions and services. When research projects bear upon such development, the support and participation of the foreign government may be needed. When cooperation is arranged, the research activities can not only add to the body of scholarly knowledge but help build up a corps of competence within the other country. (*Report of the Committee on the University and World Affairs*, Ford Foundation, 1960)

FAR, since its inception in 1964, has had as one of its principal ob-

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jectives the promotion of good relations between its member agencies and the scholarly community. This has been of particular concern to its Behavioral Sciences Subcommittee. In 1966 the Subcommittee, jointly with the Advisory Committee on Government Programs of the National Academy of Sciences—National Research Council, held a 3-day conference on foreign area research at Airlie House, near Warrenton, Virginia. The participants were officials of research-sponsoring Government agencies and leading social scientists from

universities and private research organizations.

**“... Most Encouraging for the Future”**

One of the principal purposes of the conference was to provide an opportunity for scholars to discuss face-to-face with Government research administrators some of their common problems, including the questions being debated in the academic world. As one scholar commented afterward, “I found the conference factually informative,

enlightening on seriously disputed issues, and most encouraging for the future.” The National Academy of Sciences published a summary of the proceedings entitled *Foreign Area Research: A Conference Report*.

The discussions at the conference and the subsequent report sharpened the focus on areas of Government-academic relations which needed clarification and made a significant contribution to FAR's development of the guidelines approved last month.

## The Text

# FOREIGN AREA RESEARCH GUIDELINES

DECEMBER 5, 1967

The following guidelines have been adopted by the Foreign Area Research Coordination Group (FAR) to provide general guidance to the FAR agencies. These agencies of the United States Government—twenty-one in number—seek through their voluntary association in FAR “the systematic coordination of government-sponsored foreign area and cross-cultural research in the social sciences.”

These guidelines deal with two sets of problems: A) Those that arise when a government agency contracts with an academic institution for behavioral and social science research dealing with foreign areas and international relations, and B) Those that arise when such contracts call for the conduct by academic personnel of some or all of the research in foreign countries.

It should be recognized that these guidelines have been formulated and adopted by government departments and agencies that have a variety of missions and a great diversity of programs for supporting research. Thus not every guideline will have equal applicability to all research programs of every member agency. The guidelines are meant to deal with what, from the point of view of government-academic relations, are usually perceived to be the most troublesome cases of foreign area and foreign affairs research involving the social and behavioral sciences. Typically, those cases involve a contractual relationship between a policy or operating department or agency of government and an academic institution in which the latter undertakes to conduct research which the former has determined is pertinent to its policy or action responsibilities in the foreign affairs field. Though they may have some applicability, the guidelines were not designed to deal with consultant relations between an

individual scholar and a government agency or with non-contractual research grants made by a foundation-like government agency to academic institutions or individuals.

In formulating the first set of guidelines (section A below), FAR members recognized the importance in an open society of strong, independent universities. FAR members worked from the premise that the government, in carrying out various foreign affairs missions on behalf of an open society, needs to seek contributions from all sectors of American society, including the resources of knowledge, analysis, and insight available on university campuses. The problem—in which the government, the universities, and society at large all have a stake—is for government agencies to arrange to draw upon university resources for this purpose without diminishing either those resources or the status of the universities as centers of independent teaching and research. This problem takes on added dimensions when scholars associated with American universities go to foreign countries to carry out government-supported contract research. Thus the second set of guidelines (section B below) is designed to reflect the desire of government agencies to avoid adverse

effects on foreign relations as well as concern with restrictions on the access of American scholars overseas and increased difficulties in carrying out many types of foreign area research.

Many of the factors behind these latter restrictions and difficulties are not amenable to government action, and certain of them should not be. Some stem from the cultural and political sensitivities of other nations, especially newly independent ones. Others derive from the relative scope, size, sophistication, and affluence of American social science research, which have resulted in high concentration in certain countries and in high visibility of research personnel. Still others result from the inadequate preparation of the researcher himself or from his personal characteristics. Insofar as these problems lend themselves to solution, responsibility must ordinarily lie with the academic profession itself. Thus the government looks to the academic community to formulate its own standards of conduct in performing research overseas and welcomes the initiatives which have already been taken in this regard. However, the government recognizes that its own research programs can sometimes affect not only official U.S. foreign relations but also the overseas relationships and access of private scholars. The role of the government is therefore significant and carries an obligation to ensure that government-supported foreign area research is conducted in ways that reflect favorably on the United States and on the integrity of American scholarship.

FAR members hope through the promulgation of these guidelines to alleviate some of the difficulties encountered in government-supported foreign area research and to participate with the academic community in constructive and clarifying interaction. Through the FAR and similar mechanisms, government agencies concerned with foreign area research will try to strengthen their liaison with the scholarly community. While the guidelines will neither solve every problem of relations between government and the academic world nor be applicable to every situation, the process of application by individual agencies and discussion with the academic community should help to illuminate the interests and obligations of the parties concerned.

## A. GUIDELINES FOR RESEARCH CONTRACT RELATIONS BETWEEN GOVERNMENT AND UNIVERSITY

*A1. The Government has the responsibility for avoiding actions that would call into question the integrity of American academic institutions as centers of independent teaching and research.*

A large portion of government-supported contract research carried out by American universities is long-range, unclassified and of academic interest to the faculties concerned; it poses no more serious challenges to academic integrity than do public and private research grants. The issues of acknowledgment and classification may pose problems and are dealt with below in paragraphs A2 and A3. In addition, there are certain specialized research needs—sometimes involving foreign sensitivities—for which Government agencies should continue to use or develop their own capabilities or those of non-academic institutions in order, among other things, to avoid possible embarrassment to academic research personnel and institutions.

*A2. The fact of Government research support should always be acknowledged by sponsor, university, and researcher.*

Covert support to institutions of higher education is contrary to national policy,\* on the broad and vital principle that it runs contrary to the spirit of our institutions, and on the pragmatic basis that it may reduce the reliability and credibility of the research project's conclusions and eventually result in damage to the reputation of our scholarly community.

*A3. Government-supported contract research should in process and results ideally be unclassified, but the practical needs of the nation in the modern world may require that some portion be subject to classification; the balance between making work*

*public or classified should incline whenever possible toward making it public.*

The free flow of ideas is basic to our system of democracy and to academic freedom. There are other reasons why the government should make generally available the results of its contract research; to do so not only results in the advancement of learning and public enlightenment, but also subjects government-supported research to the closest possible professional scrutiny.

Nevertheless, other responsibilities of the government sometimes must prevail. Material which cannot be declassified must sometimes be used in research required for important purposes. There are other reasons why the use of confidential limitations is as legitimate a practice in the government as it is in the private sector, where the substance of information is sometimes withheld even when its existence is known. In exploring alternative courses of action, the government often needs research-based analysis and reflection which, if made public, could produce serious misunderstandings and misapprehensions abroad about U.S. intentions. To abandon restrictions of these sorts altogether would impose serious limitations on the agencies' use of contract research.

However, to the maximum extent feasible, agencies should design projects in such ways that only those portions requiring restrictive treatment are so treated. If classification is necessary, the university is its own judge of whether or not it wishes to contract for research in this category. In any case, the researcher should always be notified in advance of entering into the contract if the project is to be classified or if the results will need to undergo final review for possible security classification or administrative control.

*A4. As a general rule, agencies should encourage open publication of contract research results.*

Subject to the ordinary canons of confidentiality and good taste which pertain in responsible privately-supported academic research, and subject to paragraph 3 above, open publication of research results in government or private

\* As stated in the report of the committee chaired by Under Secretary of State Katzenbach which was accepted by the President on March 29, 1967. See *The Department of State Bulletin*, April 24, 1967, p. 665.

media serves the greatest general good, both at home and abroad. The best guarantee that government-supported research will be of high quality is to have its results exposed to peer-group judgment; open publication is the most effective means for this purpose. To assure maximum feasible publication of research results and to minimize the risk that research publications will be misconstrued as statements or indicators of public policy, government agencies should give careful attention to the language and places in which their support is acknowledged and their responsibility for accuracy, findings, interpretations, and conclusions asserted or disclaimed. The researcher should be given a clear understanding of the agency's position on these matters before entering into the contract.

**A5. Government agencies that contract with university researchers should consider designing their projects so as to advance knowledge as well as to meet the immediate needs of policy or action.**

Few agencies have as their central mission the advancement of knowledge for its own sake or for its general utility. Most agencies that contract for research look to research—and rightfully so—for assistance in carrying out specific missions or tasks in policy or action, in short, for applications of scholarly knowledge. It is therefore often assumed that these agencies consume a tailored product and do not contribute to the nation's intellectual capital. Consumers they certainly are; however scholars, as they work on applied problems, may also collect new data and gain new insights into the theoretical and methodological strengths and weaknesses of their scholarly fields; thus they generate as well as apply scholarly knowledge. Agencies should entertain research proposals and encourage research designs which permit such contributions to basic knowledge to the maximum degree consistent with the project's sensitivity and mission-related purpose.

**A6. The government agency has the obligation of informing the potential researcher of the needs which the research should help meet, of any special conditions associated with the research contract, and generally of the agency's expectations concerning the research and the researcher.**

The researcher has a right to prior knowledge of the use to which the agency expects to put research even though, as in the case of privately-supported research, no assurances can be given that it will in fact be used or that other uses will not also be made of it, by either the supporting agency or others.

Nothing is more conducive to bad relations between researcher and government agency than failure to establish mutual understanding in advance concerning a research project. The best research designs are often those that emerge from extensive discussion between potential contractor and supporting agency; if elements of the design cannot or should not be completed until the project is under way, this prospect should be explicitly acknowledged and provided for.

**A7. The government should continue to seek research of the highest possible quality in its contract programs.**

As scholars have much to contribute in assessing the quality of research designs and the capabilities of colleagues, their advice should be sought at key stages in the formulation of projects. Advice can be obtained through consultants, advisory panels, independent review, or utilization of staff scientists.

## **B. GUIDELINES FOR THE CONDUCT OF FOREIGN AREA RESEARCH UNDER GOVERNMENT CONTRACT**

**B1. The government should take special steps to ensure that the parties with which it contracts have highest qualifications for carrying out research overseas.**

Some of the points to be considered in assessing qualifications are professional competence, area experience, language competence, and personal alertness to problems of foreign sensitivity. Scholars in the same field or discipline are usually in the best position to judge the qualifications of a given researcher. Whenever feasible, consultation with academic experts should be a part of the process of contracting for foreign area research.

**B2. The government should work to avert or minimize adverse foreign reactions to its contract research programs conducted overseas.**

All other things being equal, government-supported projects are more likely than private ones to be misinterpreted by both government and nongovernment institutions in foreign countries. Sponsoring agencies should keep in mind that ordinarily research supported by government will be held abroad to have a very practical purpose—often a purpose more immediate and direct than the agency intended, or even imagined. Thus, some combinations of topic, place, time, and agency support result in sensitivity so great as to make pursuit of some research projects actually harmful. While the existing procedures for review of government-supported foreign area research projects in the social and behavioral sciences have clarified and alleviated many of the problems, the supporting agency should always be on the watch to ensure that its research projects do not adversely affect either U.S. foreign relations or the position of the private American scholar.

**B3. When a project involves research abroad it is particularly important that both the supporting agency and the researcher openly acknowledge the auspices and financing of research projects.**

(See paragraph A2 above.) One source of difficulty for the scholar overseas is the unfounded suspicion that all American researchers are covertly supported by the U.S. Government. A policy of full disclosure of support will help to eliminate the suspicion of all American research—whether private or government, classified or unclassified—and will allow that which is supported by the government to be judged on its own merits. If the research is of such a character, as in opinion sampling, that the objectivity of its research techniques is substantially destroyed when respondents know of the project's auspices, then it is doubly important that either the host government or collaborating local researchers, or both, be fully informed about the nature of the project.

**B4. The government should under certain circumstances ascertain that the research is acceptable to the host government.**

In most cases the open acknowledgment of auspices and financing discussed in paragraph B3 is sufficient to satisfy the interest of the host government in the research. In some cases it is desirable to take specific steps to inform the host government. For example, when the U.S. Government supports a classified research project involving substantial field work abroad by scholars associated with American universities, sufficient information about the project should be communicated to the host government to convey a true picture of the character and purpose of the project. Similar steps may often be desirable

for unclassified projects which either deal with very sensitive matters or easily lend themselves to misunderstanding and misrepresentation.

**B5. *The government should encourage cooperation with foreign scholars in its contract research programs.***

Cooperation with local scholars not only adds valuable viewpoints to a foreign area research project, but also goes far to remove antagonisms and suspicions. This cooperation must, in large part, be the responsibility of the American scholars who carry on the projects, but the government should, where legislation permits, look favorably upon research proposals that contain provisions for cooperative ventures and should otherwise seek to facilitate and encourage these ventures within the limits imposed by local resources and needs. The supporting agency should encourage and assist American researchers to distribute to those foreign

colleagues who have cooperated in the research copies of open publications arising from the project. The supporting agency should also consider distribution of such publications to other interested persons and institutions in the host country, either directly through appropriate sections of the U.S. Embassy or by submitting copies to the FAR Secretariat for transmittal to the Embassy.

**B6. *Government agencies should continue to coordinate their foreign area research programs to eliminate duplication and overloading of any one geographic area.***

Agencies planning projects will continue to make use of the various FAR facilities for information exchange and consultation in order to ascertain whether similar projects have already been completed or are underway and in order to coordinate with other agency plans where feasible. Since the pro-

liferation of American researchers overseas has been one source of irritation, government agencies should continue to ensure that their programs do not arouse foreign sensitivities by concentrating too many researchers and research projects in any one overseas area.

**B7. *Government agencies should collaborate with academic associations on problems of foreign area research.***

Professional scholarly associations, both American and international, and especially those related to specific areas, have much experience with the problems of research abroad, and they have an interest like that of the government in ensuring that research relationships across national boundaries flow smoothly. Government agencies, through such mechanisms as the FAR, should consult with these associations on the problems involved to arrive at mutually agreeable procedures and solutions.

DDPR  
cc: Gary  
Ben file

FOR IMMEDIATE RELEASE

MARCH 29, 1967

Office of the White House Press Secretary

THE WHITE HOUSE

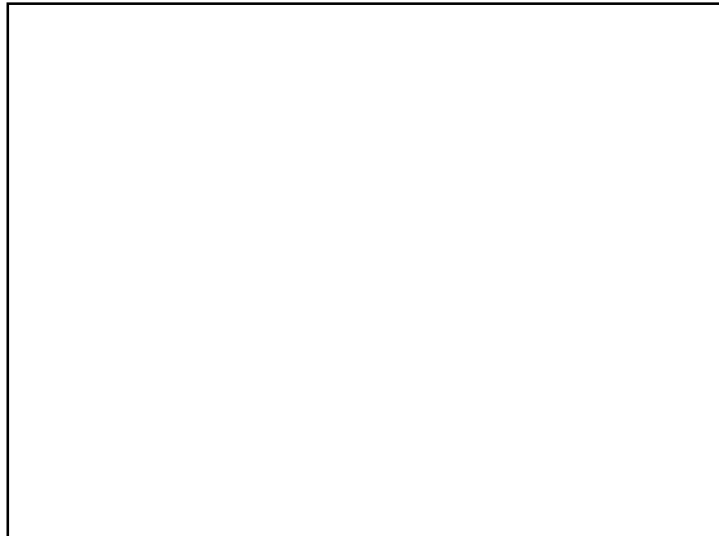
STATEMENT BY THE PRESIDENT

I have received the report from the committee which I appointed on February 15 to review relationships between the Central Intelligence Agency and private American voluntary organizations. This committee consisted of Under Secretary of State Nicholas Katzenbach, as Chairman, Secretary of Health, Education, and Welfare John Gardner, and CIA Director Richard Helms.

I accept this committee's proposed statement of policy and am directing all agencies of the government to implement it fully.

We will also give serious consideration to the committee's recommendation "that the government should promptly develop and establish a public-private mechanism to provide public funds openly for overseas activities of organizations which are adjudged deserving, in the national interest, of public support." To review concrete ways of accomplishing this objective, I am requesting Secretary Rusk to serve as chairman of a special committee which will include representatives from the Executive, the Congress, and the private community.

STAT



The Katzenbach Report  
of 1967

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Dear Mr. President:

The committee which you appointed on February 15, 1967 has sought, pursuant to your request:

--To review relationships between government agencies, notably the Central Intelligence Agency, and educational and private voluntary organizations which operate abroad; and

-- To recommend means to help assure that such organizations can play their proper and vital role abroad.

The committee has held a number of meetings, interviewed dozens of individuals in and out of government, and reviewed thousands of pages of reports. We have surveyed the relevant activities of a number of federal agencies. And we have reviewed in particular and specific detail the relationship between CIA and each relevant organization.

Our report, supplemented with supporting classified documents, follows.

In summary, the committee offers two basic recommendations:

1. It should be the policy of the United States Government that no federal agency shall provide any covert financial assistance or support, direct or indirect, to any of the nation's educational or private voluntary organizations.
2. The Government should promptly develop and establish a public-private mechanism to provide public funds openly for overseas activities of organizations which are adjudged deserving, in the national interest, of public support.

#### 1: A NEW POLICY

The years immediately after World War II saw a surge of communist activity in organizations throughout the world. Students, scientists, veterans, women and professional groups were organized into international bodies which spoke in the cadences, advocated the policies, and furthered the interests of the communist bloc. Much of this activity was organized, directed, and financed covertly by communist governments.

American organizations reacted from the first. The young men and women who founded the United States National Student Association, for example, did so precisely to give American youth the capacity to hold their own in the international arena. But the importance of students as a force in international events had yet to become widely understood and NSA found it difficult to attract private support for its international activities. Accordingly, the United States Government, acting through the Central Intelligence Agency, provided support for this overseas work.

We have taken NSA as an example. While a useful purpose would be served by detailing any other CIA programs of assistance to private American voluntary organizations, one fundamental point should be clearly stated: such assistance was given pursuant to National Security Council policies beginning in October, 1951 and with the subsequent concurrence of high-level senior interdepartmental review committees in the last four Administrations. In December, 1960, in a classified report submitted after a year of study, a public-private Presidential Committee on Information Activities Abroad specifically endorsed both overt and covert programs, including those assisted by CIA.

MORE

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Our study, undertaken at a later time, discloses new developments which suggest that we should now re-examine these policies. The American public, for example, has become increasingly aware of the importance of the complex forms of international competition between free societies and communist states. As this awareness has grown, so have potential sources of support for the overseas work of private organizations.

There is no precise index to these sources, but their increase is suggested by the growth in the number of private foundations from 2,220 in 1955 to 18,000 in 1967. Hence it is increasingly possible for organizations like NSA to seek support for overseas activities from open sources.

Just as sources of support have increased, so has the number of American groups engaged in overseas work. According to the Agency for International Development, there has been a nine-fold increase just among voluntary organizations which participate in technical assistance abroad, rising from 24 in 1951 to 220 in 1965. The total of all private American voluntary groups now working overseas may well exceed a thousand.

The number of such organizations which has been assisted covertly is a small fraction of the total. The vast preponderance have had no relationship with the government or have accepted only open government funds -- which greatly exceed funds supplied covertly.

The work of private American organizations, in a host of fields, has been of great benefit to scores of countries. That benefit must not be impaired by foreign doubts about the independence of these organizations. The committee believes it is essential for the United States to underscore that independence immediately and decisively.

For these reasons, the committee recommends the following:

#### STATEMENT OF POLICY

No federal agency shall provide any covert financial assistance or support, direct or indirect, to any of the nation's educational or private voluntary organizations. This policy specifically applies to all foreign activities of such organizations and it reaffirms present policy with respect to their domestic activities.

Where such support has been given, it will be terminated as quickly as possible without destroying valuable private organizations before they can seek new means of support.\*

We believe that, particularly in the light of recent publicity, establishment of a clear policy of this kind is the only way for the government to carry out two important responsibilities. One is to avoid any implication that governmental assistance, because it is given covertly, is used to affect the policies of private voluntary groups. The second responsibility is to make it plain in all foreign countries that the activities of private American groups abroad are, in fact, private.

The committee has sought carefully to assess the impact of this Statement of Policy on CIA. We have reviewed each relevant program of assistance carried out by the Agency in case - by-case detail. As a result of this scrutiny, the committee is satisfied that application of the Statement of Policy will not unduly handicap the Agency in the exercise of its national security responsibilities. Indeed, it should be noted that, starting well before the appearance of

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\*On the basis of our case-by-case review, we expect that the process of termination can be largely -- perhaps entirely -- completed by December 31, 1967.

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recent publicity, CIA had initiated and pursued efforts to disengage from certain of these activities.

The committee also recommends that the implementation of this policy be supervised by the senior interdepartmental review committee which already passes on proposed CIA activities and which would review and assist in the process of disengagement.\*\*

## 2: NEW METHODS OF SUPPORT

While our first recommendation seeks to insure the independence of private voluntary organizations, it does not deal with an underlying problem -- how to support the national need for, and the intrinsic worth of, their efforts abroad.

Anyone who has the slightest familiarity with intellectual or youth groups abroad knows that free institutions continue to be under bitter, continuous attack, some of it carefully organized and well-financed, all of it potentially dangerous to this nation.

It is of the greatest importance to our future and to the future of free institutions everywhere that other nations, especially their young people, know and understand American viewpoints. There is no better way to meet this need than through the activity of private American organizations.

The time has surely come for the government to help support such activity in a mature, open manner.

Some progress toward that aim already has been made. In recent years, a number of federal agencies have developed contracts, grants, and other forms of open assistance to private organizations for overseas activities. This assistance, however, does not deal with a major aspect of the problem. A number of organizations cannot, without hampering their effectiveness as independent bodies, accept funds directly from government agencies.

The committee therefore recommends that the Government should promptly develop and establish a public-private mechanism to provide public funds openly for overseas activities of organizations which are adjudged deserving, in the national interest, of public support.

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\*\* If the Statement of Policy is to be effective, it must be rigorously enforced. In the judgment of this committee, no programs currently would justify any exception to this policy. At the same time, where the security of the nation may be at stake, it is impossible for this committee to state categorically now that there will never be a contingency in which overriding national security interests may require an exception -- nor would it be credible to enunciate a policy which purported to do so.

We therefore recommend that, in the event of such unusual contingencies, the interdepartmental review committee be permitted to make exceptions to the Statement of Policy, but only where overriding national security interests so require; only on a case-by-case basis; only where open sources of support are shown to be unavailable; and only when such exceptions receive the specific approval of the Secretaries of State and Defense. In no case should any future exception be approved which involves any educational, philanthropic, or cultural organization.

MORE

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Such a mechanism could take various forms. One promising proposal, advanced by Mr. Eugene Black, calls for a publicly funded but privately administered body patterned on the British Council.

The British Council established in 1934, operates in 80 countries, administering approximately \$30,000,000 annually for reference libraries, exhibitions, scholarships, international conferences, and cultural exchanges. Because 21 of its 30 members are drawn from private life, the Council has maintained a reputation for independence, even though 90 percent of its funds are governmental.

According to the UNESCO Directory of Cultural Relations Services, other nations have developed somewhat similar institutions. The Indian Council for Cultural Relations, for example, is entirely government-financed but operates autonomously. The governing body of the Swedish Institute for Cultural Relations consists of both government and private members. This institute receives 75 percent of its funds from the government and the remainder from private contributions.

The experience of these and other countries helps to demonstrate the desirability of a similar body in the United States, wholly or largely funded by the federal government. Another approach might be the establishment of a governmental foundation, perhaps with links to the existing Federal Inter-Agency Council on International Education and Cultural Affairs.

Such a public-private body would not be new to the United States. Congress established the Smithsonian Institution, for example, more than a century ago as a private corporation, under the guardianship of Congress, but governed by a mixed public-private Board of Regents.

The committee began a preliminary study of what might be the best method of meeting the present need. It is evident, however, that, because of the great range both of existing government and private philanthropic programs, the refinement of alternatives and selection among them is a task of considerable complexity. Accordingly, we do not believe that this exclusively governmental committee is an appropriate forum for the task and we recommend, instead, the appointment of a larger group, including individuals in private life with extensive experience in this field.

The basic principle, in any event, is clear. Such a new institution would involve government funds. It might well involve government officials. But a premium must be placed on the involvement of private citizens and the exercise of private judgments, for to be effective, it would have to have -- and be recognized to have -- a high degree of independence.

The prompt creation of such an institution, based on this principle, would fill an important -- and never more apparent -- national need.

Respectfully,

/s/ John W. Gardner  
Secretary of  
Health, Education and Welfare

/s/ Richard Helms  
Director of  
Central Intelligence

/s/ Nicholas deB. Katzenbach  
Under Secretary of State,  
Chairman